

## **Remarks/Arguments**

Claims 1-29 remain pending in the present application and have been allowed. Prosecution of the application on the merits has been closed in accordance with the practice under *Ex parte Quayle*.

### **I. Substitute Specification**

The Examiner has required that Applicants submit a rewritten specification to prevent confusion during the issue and printing process.

In response, attached hereto is a Substitute Specification incorporating all the amendments made to the specification during prosecution of the application, and a marked-up copy of the Substitute Specification to show the changes. The enclosed Substitute Specification contains no new matter.

Therefore, the requirement for a rewritten specification has been satisfied.

### **II. Supplemental Declaration**

The Examiner has required a Supplemental Declaration under 37 C.F.R. 1.125. Pursuant to the Examiner's requirement, a Supplemental Declaration is attached hereto that properly identifies the application of which it is to form a part.

Therefore, the requirement for a Supplemental Declaration has been satisfied.

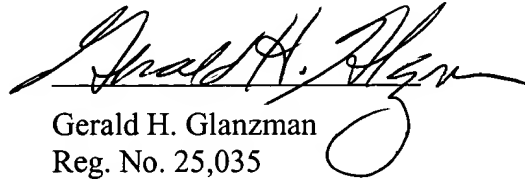
### **III. Conclusion**

It is respectfully urged that the subject application is now in condition for allowance; and it is, accordingly, respectfully requested that the Examiner so find and issue a Notice of Allowance in due course.

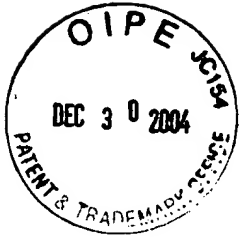
The Examiner is invited to call the undersigned at the below-listed telephone number if in the opinion of the Examiner such a telephone conference would expedite or aid the prosecution and examination of this application.

DATE: December 23, 2004

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Gerald H. Glanzman", written over a horizontal line.

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# *SUBSTITUTE SPECIFICATION - Marked-up*

## APPARATUS AND METHOD FOR ENSURING DATA INTEGRITY OF UNAUTHENTICATED CODE

5

### BACKGROUND OF THE INVENTION

#### 1. Technical Field:

The present invention is directed to an apparatus and method for ensuring data integrity of unauthenticated code. In particular, the present invention is directed to an apparatus and method for authenticating unauthenticated code based on hash value information obtained in automatically authenticated code.

#### 15 2. Description of Related Art:

The use of platform independent code, such as ~~Java~~ JAVA, has increased with increase usage of the Internet. "JAVA" is a trademark of Sun Microsystems, Inc. This is because the Internet provides information, services, and computer programs to millions of client devices which may be configured in any number of different ways. Because it is rather impractical to require all client devices to adhere to a particular configuration, platform independent code provides a solution for allowing computer programs to execute properly on virtually all client devices, independent of the particular configuration of the client device.

~~Java~~ JAVA is a programming language from Sun ~~Systems~~ Microsystems, Inc. that is designed for Internet (World Wide Web) and intranet applications. ~~Java~~ JAVA programs can be called from within HTML documents or launched stand alone. ~~Java~~ JAVA is an interpreted language that

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uses an intermediate language. The source code of a ~~Java~~ JAVA program is compiled into "byte code," which cannot be run by itself. The byte code must be converted into machine code at runtime.

5        Upon finding a ~~Java~~ JAVA applet, the Web browser on the client device switches to its ~~Java~~ JAVA interpreter, i.e. the ~~Java~~ JAVA Virtual Machine (JVM), which translates the byte code into machine code and runs it. This means ~~Java~~ JAVA programs are not dependent on any  
10        specific hardware and will run in any computer with the ~~Java~~ JAVA Virtual Machine.

      While the ~~Java~~ JAVA code is platform independent, often ~~Java~~ JAVA applets will need native code, such as dynamically linked library files (.dll files), in order  
15        for the ~~Java~~ JAVA code to be executed correctly on a particular client device. These native code files are typically downloaded when the executed ~~Java~~ JAVA code indicates that a native code file is required.

~~Java~~ JAVA applets and applications are routinely  
20        downloaded from servers to client devices over the Internet. During transmission of these ~~Java~~ JAVA applets and applications, it is possible that random corruption may occur such that the ~~Java~~ JAVA code that is received at the client device is not the same as the ~~Java~~ JAVA  
25        code sent by the server. More troublesome is the possibility of interception by a third party who may purposefully corrupt the ~~Java~~ JAVA code, e.g., by inserting a virus or the like.

      Presently, known ~~Java~~ JAVA Application Program  
30        Interfaces (API) allow for some ability to check data integrity of ~~Java~~ JAVA code through the generation of digital signatures, e.g. through a one-way hash function

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or the like. However, currently, there is no API which allows for authentication of native code that is needed by the ~~Java~~ JAVA code. In other words, while the ~~Java~~ JAVA code may be authenticated as having not been  
5 corrupted during transmission from a server to the client device, the native code cannot be authenticated in this way.

One solution to this problem is to build a signature and certificate mechanism into the code that downloads  
10 the native code. While this solution is possible, it requires a large amount of overhead. Another solution is to not check the data integrity of the native code. This solution is not acceptable because it provides an avenue through which the security of the client devices may be  
15 compromised.

Thus, it would be beneficial to have an apparatus and method by which the data integrity of both the automatically authenticated code, e.g., the platform independent code, and the unauthenticated code, e.g., the  
20 native code, can be authenticated.

**SUMMARY OF THE INVENTION**

5 The present invention provides an apparatus and method for ensuring data integrity of unauthenticated code. In particular, the present invention is directed to an apparatus and method for authenticating native code based on hash value information obtained in automatically authenticated code, e.g., platform independent code.

10 With the present invention, a hash value of unauthenticated code is embedded in associated automatically authenticated code. When the automatically authenticated code is downloaded and executed, the automatically authenticated code may require that the  
15 unauthenticated code also be downloaded for proper execution of the automatically authenticated code on a particular client device. The unauthenticated code can be downloaded and its integrity verified by generating a hash value of the unauthenticated code and comparing the  
20 generated hash value to a hash value embedded in the automatically authenticated code. Since the hash value of the unauthenticated code is embedded in authenticated code, and the authenticated code must have passed its authentication check or it would not have been executed,  
25 the embedded hash value can be trusted not to have been changed and can safely be used to determine whether the unauthenticated code has changed.

If there is a match, the unauthenticated code is verified. If there is not a match, the unauthenticated  
30 code has been corrupted during transmission and is not verified. As a result, the unauthenticated code is not used by the client device. The download of the

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unauthenticated code can then be attempted again and the verification process repeated.

**BRIEF DESCRIPTION OF THE DRAWINGS**

The novel features believed characteristic of the invention are set forth in the appended claims. The invention itself, however, as well as a preferred mode of use, further objectives and advantages thereof, will best be understood by reference to the following detailed description of an illustrative embodiment when read in conjunction with the accompanying drawings, wherein:

10       **Figure 1** is an exemplary block diagram of a distributed data processing system according to the present invention;

**Figure 2A** is an exemplary block diagram of a data processing system according to the present invention;

15       **Figure 2B** is an exemplary block diagram of a data processing system according to the present invention;

**Figure 3A** is a block diagram illustrates the relationship of software components operating within a computer system that may implement the present invention;

20       **Figure 3B** is an exemplary block diagram of a ~~Java~~ JAVA Virtual Machine (JVM) according to the present invention;

**Figure 4** is a block diagram illustrating the process of downloading and authenticating the data integrity of both signed and unsigned code; and

25       **Figure 5** is flowchart outlining an exemplary operation of the present invention.



**DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENT**

With reference now to the figures, and in particular  
5 with reference to **Figure 1**, a pictorial representation of  
a distributed data processing system in which the present  
invention may be implemented is depicted. Distributed  
data processing system **100** is a network of computers in  
which the present invention may be implemented.

10 Distributed data processing system **100** contains a network  
**102**, which is the medium used to provide communications  
links between various devices and computers connected  
together within distributed data processing system **100**.  
Network **102** may include permanent connections, such as  
15 wire or fiber optic cables, or temporary connections made  
through telephone connections.

In the depicted example, a server **104** is connected  
to network **102** along with storage unit **106**. In addition,  
clients **108**, **110**, and **112** also are connected to a network  
20 **102**. These clients **108**, **110**, and **112** may be, for  
example, personal computers or network computers. For  
purposes of this application, a network computer is any  
computer, coupled to a network, which receives a program  
or other application from another computer coupled to the  
25 network. In the depicted example, server **104** provides  
data, such as boot files, operating system images, and  
applications to clients **108-112**. Clients **108**, **110**, and  
**112** are clients to server **104**. Distributed data  
processing system **100** may include additional servers,  
30 clients, and other devices not shown. In the depicted  
example, distributed data processing system **100** is the

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Internet with network **102** representing a worldwide collection of networks and gateways that use the TCP/IP suite of protocols to communicate with one another. At the heart of the Internet is a backbone of high-speed  
5 data communication lines between major nodes or host computers, consisting of thousands of commercial, government, educational, and other computer systems, that route data and messages. Of course, distributed data processing system **100** also may be implemented as a number  
10 of different types of networks, such as, for example, an Intranet or a local area network.

**Figure 1** is intended as an example, and not as an architectural limitation for the processes of the present invention. The present invention may be implemented in  
15 the depicted distributed data processing system or modifications thereof as will be readily apparent to those of ordinary skill in the art.

The present invention provides a mechanism for establishing data flow from a trusted server, such as  
20 server **104**, to a client device, such as client **110**, over a non-secure link and still be able to make sure the data has not been changed during transmission. The present invention is applicable to any type of automatically authenticated and unauthenticated code that may be  
25 transmitted, for example, over the network **102**.

The term "automatically authenticated code" as it is used in the present disclosure is meant to refer to code that is automatically authenticated through an existing mechanism, such as a virtual machine or the like, of a  
30 client device. The "automatically authenticated code" is automatically authenticated when received by the client device. An example of "automatically authenticated code"

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is compiled ~~Java~~ JAVA code that is automatically authenticated by the ~~Java~~ JAVA Virtual Machine (JVM) when received at the client device.

5 The term "unauthenticated code" as it is used in the present disclosure is meant to refer to code that is not automatically authenticated by existing mechanisms when received by the client device. An example of "unauthenticated code" is native code that may be downloaded to a client device when necessary for proper execution of compiled ~~Java~~ JAVA code. The present invention provides a mechanism by which this "unauthenticated code" can be authenticated when downloaded for use with associated automatically authenticated code.

15 In the preferred embodiments of the present invention, as described hereafter, the "automatically authenticated code" will be assumed to be compiled ~~Java~~ JAVA code and the "unauthenticate code" will be assumed to be native code, for purposes of illustration of the features of the present invention. However, one of ordinary skill in the art should appreciate that the present invention is equally applicable to any type of automatically authenticated and unauthenticated code.

25 With reference now to **Figure 2A**, a block diagram of a data processing system which may be implemented as a server, such as server **104** in **Figure 1**, is depicted in accordance to the present invention. Data processing system **200** may be a symmetric multiprocessor (SMP) system including a plurality of processors **202** and **204** connected to system bus **206**. Alternatively, a single processor system may be employed. Also connected to system bus **206** is memory controller/cache **208**, which provides an

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interface to local memory **209**. I/O Bus Bridge **210** is connected to system bus **206** and provides an interface to I/O bus **212**. Memory controller/cache **208** and I/O Bus Bridge **210** may be integrated as depicted.

5        Peripheral component interconnect (PCI) bus bridge **214** connected to I/O bus **212** provides an interface to PCI local bus **216**. A modem **218** may be connected to PCI local bus **216**. Typical PCI bus implementations will support four PCI expansion slots or add-in connectors.

10       Communications links to network computers **108-112** in **Figure 1** may be provided through modem **218** and network adapter **220** connected to PCI local bus **216** through add-in boards.

         Additional PCI bus bridges **222** and **224** provide  
15       interfaces for additional PCI buses **226** and **228**, from which additional modems or network adapters may be supported. In this manner, server **200** allows connections to multiple network computers. A memory mapped graphics adapter **230** and hard disk **232** may also be connected to  
20       I/O bus **212** as depicted, either directly or indirectly.

         Those of ordinary skill in the art will appreciate that the hardware depicted in **Figure 2A** may vary. For example, other peripheral devices, such as optical disk drive and the like also may be used in addition or in  
25       place of the hardware depicted. The depicted example is not meant to imply architectural limitations with respect to the present invention.

         The data processing system depicted in **Figure 2A** may be, for example, an IBM RISC/System 6000 system, a  
30       product of International Business Machines Corporation in

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Armonk, New York, running the Advanced Interactive Executive (AIX) operating system.

With reference now to **Figure 2B**, a block diagram of a data processing system in which the present invention may be implemented is illustrated. Data processing system **250** is an example of a client computer. Data processing system **250** employs a peripheral component interconnect (PCI) local bus architecture. Although the depicted example employs a PCI bus, other bus architectures such as Micro Channel and ISA may be used. Processor **252** and main memory **254** are connected to PCI local bus **256** through PCI Bridge **258**. PCI Bridge **258** also may include an integrated memory controller and cache memory for processor **252**. Additional connections to PCI local bus **256** may be made through direct component interconnection or through add-in boards.

In the depicted example, local area network (LAN) adapter **260**, SCSI host bus adapter **262**, and expansion bus interface **264** are connected to PCI local bus **256** by direct component connection. In contrast, audio adapter **266**, graphics adapter **268**, and audio/video adapter (A/V) **269** are connected to PCI local bus ~~266~~ 256 by add-in boards inserted into expansion slots. Expansion bus interface **264** provides a connection for a keyboard and mouse adapter **270**, modem **272**, and additional memory **274**. SCSI host bus adapter **262** provides a connection for hard disk drive **276**, tape drive **278**, ~~and~~ CD-ROM 280, and DVD 282 in the depicted example. Typical PCI local bus implementations will support three or four PCI expansion slots or add-in connectors.

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An operating system runs on processor **252** and is used to coordinate and provide control of various components within data processing system **250** in **Figure 2B**. The operating system may be a commercially available operating system such as ~~Java~~ JAVA OS or OS/2, which are available from International Business Machines Corporation. ~~Java~~ JAVA OS is loaded from a server on a network to a network client and supports ~~Java~~ JAVA programs and applets. An object oriented programming system, such as ~~Java~~ JAVA, may run in conjunction with the operating system and may provide calls to the operating system from ~~Java~~ JAVA programs or applications executing on data processing system **250**. Instructions for the operating system, the object-oriented operating system, and applications or programs are located on storage devices, such as hard disk drive **276** and may be loaded into main memory **254** for execution by processor **252**. Hard disk drives are often absent and memory is constrained when data processing system **250** is used as a network client.

Those of ordinary skill in the art will appreciate that the hardware in **Figure 2B** may vary depending on the implementation. For example, other peripheral devices, such as optical disk drives and the like may be used in addition to or in place of the hardware depicted in **Figure 2B**. The depicted example is not meant to imply architectural limitations with respect to the present invention. For example, the processes of the present invention may be applied to a multiprocessor data processing system.

The present invention provides an apparatus and method for ensuring the data integrity of unauthenticated

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code downloaded to a client device over a network.

Although the present invention may operate on a variety of computer platforms and operating systems, it may also operate within a ~~Java~~ JAVA runtime environment. Hence, the present invention may operate in conjunction with a ~~Java~~ JAVA Virtual Machine (JVM) yet within the boundaries of a JVM as defined by ~~Java~~ JAVA standard specifications. In order to provide a context for the present invention, portions of the operation of a JVM according to ~~Java~~ JAVA specifications are herein described.

With reference now to **Figure 3A**, a block diagram illustrates the relationship of software components operating within a computer system that may implement the present invention. ~~Java-based~~ JAVA-based system **300** contains platform specific operating system **302** that provides hardware and system support to software executing on a specific hardware platform. JVM **304** is one software application that may execute in conjunction with the operating system. JVM **304** provides a ~~Java~~ JAVA runtime environment with the ability to execute ~~Java~~ JAVA application or applet **306**, which is a program, servlet, or software component written in the ~~Java~~ JAVA programming language. The computer system in which JVM **304** operates may be similar to data processing system **200** or computer **250** described above. However, JVM **304** may be implemented in dedicated hardware on a so-called ~~Java~~ JAVA chip, ~~Java-on-silicon~~ JAVA-on-silicon, or ~~Java~~ JAVA processor with an embedded ~~picoJava~~ picoJAVA core.

At the center of a ~~Java~~ JAVA run-time environment is the JVM, which supports all aspects of ~~Java's~~ JAVA's environment, including its architecture, security features, mobility across networks, and platform

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independence. The JVM is a virtual computer, i.e. a computer that is specified abstractly. The specification defines certain features that every JVM must implement, with some range of design choices that may depend upon  
5 the platform on which the JVM is designed to execute. For example, all JVMs must execute ~~Java~~ JAVA bytecodes and may use a range of techniques to execute the instructions represented by the bytecodes. A JVM may be implemented completely in software or somewhat in  
10 hardware. This flexibility allows different JVMs to be designed for mainframe computers and PDAs.

The JVM is the name of a virtual computer component that actually executes ~~Java~~ JAVA programs. ~~Java~~ JAVA programs are not run directly by the central processor  
15 but instead by the JVM, which is itself a piece of software running on the processor. The JVM allows ~~Java~~ JAVA programs to be executed on a different platform as opposed to only the one platform for which the code was compiled. ~~Java~~ JAVA programs are compiled for the JVM.  
20 In this manner, ~~Java~~ JAVA is able to support applications for many types of data processing systems, which may contain a variety of central processing units and operating systems architectures. To enable a ~~Java~~ JAVA application to execute on different types of data  
25 processing systems, a compiler typically generates an architecture-neutral file format - the compiled code is executable on many processors, given the presence of the ~~Java~~ JAVA run-time system.

The ~~Java~~ JAVA compiler generates bytecode  
30 instructions that are nonspecific to a particular computer architecture. A bytecode is a machine independent code generated by the ~~Java~~ JAVA compiler and



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executed by a ~~Java~~ JAVA interpreter. A ~~Java~~ JAVA interpreter is part of the JVM that alternately decodes and interprets a bytecode or bytecodes. These bytecode instructions are designed to be easy to interpret on any  
5 computer and easily translated on the fly into native machine code.

A JVM must load class files and execute the bytecodes within them. The JVM contains a class loader, which loads class files from an application and the class  
10 files from the ~~Java~~ JAVA application programming interfaces (APIs) which are needed by the application. The execution engine that executes the bytecodes may vary across platforms and implementations.

One type of software-based execution engine is a  
15 just-in-time (JIT) compiler. With this type of execution, the bytecodes of a method are compiled to native machine code upon successful fulfillment of some type of criteria for "jitting" a method. The native machine code for the method is then cached and reused  
20 upon the next invocation of the method. The execution engine may also be implemented in hardware and embedded on a chip so that the ~~Java~~ JAVA bytecodes are executed natively. JVMs usually interpret bytecodes, but JVMs may also use other techniques, such as just-in-time  
25 compiling, to execute bytecodes.

When an application is executed on a JVM that is implemented in software on a platform-specific operating system, a ~~Java~~ JAVA application may interact with the host operating system by invoking native method, i.e.  
30 native code. A ~~Java~~ JAVA method is written in the ~~Java~~ JAVA language, compiled to bytecodes, and stored in class files. A native method is written in some other language

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and compiled to the native machine code of a particular processor. Native methods are stored in a dynamically linked library whose exact form is platform specific.

With reference now to **Figure 3B**, a block diagram of a JVM is depicted in accordance with a preferred embodiment of the present invention. JVM **350** includes a class loader subsystem **352**, which is a mechanism for loading types, such as classes and interfaces, given fully qualified names. JVM **350** also contains runtime data areas **354**, execution engine **356**, native method interface **358**, and memory management **374**. Execution engine **356** is a mechanism for executing instructions contained in the methods of classes loaded by class loader subsystem **352**. Execution engine **356** may be, for example, ~~Java~~ JAVA interpreter **362** or just-in-time compiler **360**. Native method interface **358** allows access to resources in the underlying operating system. Native method interface **358** may be, for example, a ~~Java~~ JAVA native interface.

Runtime data areas **354** contain native method stacks **364**, ~~Java~~ JAVA stacks **366**, PC registers **368**, method area **370**, and heap **372**. These different data areas represent the organization of memory needed by JVM **350** to execute a program.

~~Java~~ JAVA stacks **366** are used to store the state of ~~Java~~ JAVA method invocations. When a new thread is launched, the JVM creates a new ~~Java~~ JAVA stack for the thread. The JVM performs only two operations directly on ~~Java~~ JAVA stacks: it pushes and pops frames. A thread's ~~Java~~ JAVA stack stores the state of ~~Java~~ JAVA method invocations for the thread. The state of a ~~Java~~ JAVA

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method invocation includes its local variables, the parameters with which it was invoked, its return value, if any, and intermediate calculations. ~~Java~~ JAVA stacks are composed of stack frames. A stack frame contains the state of a single ~~Java~~ JAVA method invocation. When a thread invokes a method, the JVM pushes a new frame onto the ~~Java~~ JAVA stack of the thread. When the method completes, the JVM pops the frame for that method and discards it.

The JVM does not have any registers for holding intermediate values; any ~~Java~~ JAVA instruction that requires or produces an intermediate value uses the stack for holding the intermediate values. In this manner, the ~~Java~~ JAVA instruction set is well-defined for a variety of platform architectures.

PC registers **368** are used to indicate the next instruction to be executed. Each instantiated thread gets its own pc register (program counter) and ~~Java~~ JAVA stack. If the thread is executing a JVM method, the value of the pc register indicates the next instruction to execute. If the thread is executing a native method, then the contents of the pc register are undefined.

Native method stacks **364** store the state of invocations of native methods. The state of native method invocations is stored in an implementation-dependent way in native method stacks, registers, or other implementation-dependent memory areas. In some JVM implementations, native method stacks **364** and ~~Java~~ JAVA stacks **366** are combined.

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Method area **370** contains class data while heap **372** contains all instantiated objects. The JVM specification strictly defines data types and operations. Most JVMs choose to have one method area and one heap, each of which are shared by all threads running inside the JVM. When the JVM loads a class file, it parses information about a type from the binary data contained in the class file. It places this type information into the method area. Each time a class instance or array is created, the memory for the new object is allocated from heap **372**.

JVM **350** includes an instruction that allocates memory space within the memory for heap **372** but includes no instruction for freeing that space within the memory.

Memory management **374** in the depicted example manages memory space within the memory allocated to heap **370**. Memory management **374** may include a garbage collector which automatically reclaims memory used by objects that are no longer referenced. Additionally, a garbage collector also may move objects to reduce heap fragmentation.

While the present invention is applicable to any system in which automatically authenticated and unauthenticated code are transmitted from a server device to a client device, the preferred embodiments of the present invention will be described in terms of a ~~Java~~ JAVA execution environment. Thus, the embodiments of the present invention will be explained in terms of signed ~~Java~~ JAVA code, unauthenticated native code, ~~Java~~ JAVA Virtual Machines, and the like. It should be appreciated by those of ordinary skill in the art that the present invention is equally applicable to other similar execution environments.

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As mentioned above, when a client device requests an application from a trusted web server, such as a ~~Java~~ JAVA applet or application, the application is downloaded to the client device as compiled ~~Java~~ JAVA code. The  
5 compiled ~~Java~~ JAVA code includes an electronic signature which is used to verify the integrity of the application data received by the client device.

This electronic signature may be generated in any number of ways including, for example, using a one-way  
10 hash function. Using a one-way hash function on the application data, a small digest is computed which is then encrypted into a digital signature using a private key of the application's author. The signature and the application data are later transmitted to any client by  
15 any server. Upon receipt, the JVM of the client device, for example, can use the application author's public key (available from any trusted directory) to decrypt the signature back into the digest and then re-compute a new digest from the application data using the same method  
20 employed by the author. If the digests match, two facts have been established: (1) the code has not changed since the author sent it, because any change would result in a different hash value, and (2) the code was sent by the author, because only the author has access to the private  
25 key which can encrypt the hash value such that it can be correctly decrypted by the public key available to the client.

When the application is run on the client device, the application may require additional data files to be  
30 downloaded for execution on the particular client device. For example, if the application is a ~~Java~~ JAVA applet or application, the ~~Java~~ JAVA applet may need native

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methods, e.g., dynamically linked library (.dll) files, so that the ~~Java~~ JAVA applet can be properly executed on the client device.

In the known systems, the .dll files are downloaded  
5 as unauthenticated native code. Thus, there is no guarantee that the native code that is received by the client device is the same native code that was sent by the server. In other words, the native code may have been corrupted during transmission, either intentionally  
10 or unintentionally, and there is no mechanism by which to determine if the native code has been corrupted. This may cause a breach in the security of the client device.

**Figure 4** is an exemplary diagram illustrating the process of downloading and authenticating the data  
15 integrity of both automatically authenticated and unauthenticated code in accordance with the present invention. As shown in **Figure 4**, with the present invention a hash value **440** of the unauthenticated code is generated. This signature value may be generated using,  
20 for example, Message Digest 5 (MD5), Secure Hash Algorithm (SHA) or other similar methods. This hash value may be generated at the time the unauthenticated code is compiled, for example. For purposes of the following explanation, it will be assumed that the hash value is  
25 obtained using a hashing function.

The hash value **440** is then embedded in the automatically authenticated code **430** prior to the signature for the signed code being generated. In addition, an indicator of the type of hashing function  
30 used to generate the hash value may also be embedded in the signed code **430**. This may be done, for example, by inserting a statement in the code that the hash value for

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the unauthenticated code, e.g. the .dll file, is a certain value and by inserting a hashing function identifier.

When the automatically authenticated code **430** is  
5 downloaded from a server **410** to the client device **420**,  
verified and then executed, the virtual machine (VM) **470**  
associated with the web browser software on the client  
device **420** will request that the unauthenticated code **450**  
also be downloaded in order for the automatically  
10 authenticated code **430** to be properly executed. The  
determination of which unauthenticated code **450** is to be  
downloaded is performed in a known manner by the VM **470**.  
The unauthenticated code must be known at the time the  
automatically authenticated code is compiled.

15 When the unauthenticated code **450** is downloaded, an  
unauthenticated code verification element **475** in the VM  
**470** of the client device **420** generates a hash value **460**  
of the unauthenticated code using the same hashing  
function used to generate the hash value **440** embedded in  
20 the automatically authenticated code **430**. The hashing  
function to be used may be determined, for example, based  
on the hashing function identifier embedded in the  
automatically authenticated code **430**.

The two hash values **440** and **460** are then compared by  
25 the unauthenticated code verification element **475**. If  
the comparison results in a match, the unauthenticated  
code **450** is verified as being the same code sent by the  
server **410**. If there is not a match, the unauthenticated  
code **450** has been corrupted during transmission. The  
30 unauthenticated code **450** is therefore, discarded and is

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not used during execution of the automatically authenticated code **430**.

Because the corruption of the unauthenticated code **450** may have resulted from unintentional factors, such as packet loss or the like, the attempt to download the unauthenticated code **450** may be attempted a second time and the verification technique, described above, again applied. If the result of the second application of the above verification technique is that the unauthenticated code **450** is again corrupted, an error message may be returned by the VM **470** to the client device **420**. The number of repeated attempts may be arbitrarily predetermined based on the desires of the network administrator, the operator of the client device, or the like.

In addition, the present invention is able to discern whether or not corruption of the unauthenticated code **450** is due to intentional or unintentional factors. If the unauthenticated code **450** is corrupt and the attempt to download the unauthenticated code **450** a second time results in the unauthenticated code **450** being corrupted again, the hash values generated during the first and second attempts may be compared. If the hash values match, then the corruption is most likely the result of intentional factors. That is, the corruption is identical each time. This will likely occur if a "hacker" is accessing the transmitted unauthenticated code and altering it in some way.

If the hash values do not match, then the corruption is most likely the result of unintentional means. This will likely occur if random factors, such as packet loss and the like, affect the transmission.



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**Figure 5** is a flowchart outlining an exemplary operation of the present invention. As shown in **Figure 5**, the operation starts with downloading the automatically authenticated code from the server (step 510). The hash value of the unauthenticated code is identified in the automatically authenticated code (step 520).

The unauthenticated code is downloaded from the server (step 530). A hash value for the unauthenticated code is generated (step 540) and compared with the hash value embedded in the automatically authenticated code (step 550). A determination is made as to whether the hash values match (step 560).

If the hash values match, the unauthenticated code is verified and may be used by the client device (step 570). If the hash values do not match, an error is returned (step 580). The operation then ends.

It should be noted, however, that steps 530-580 may be repeated a predetermined number of times in order to take into consideration the possibility of unintentional corruption of the unauthenticated code. Furthermore, as mentioned above, the operation may optionally include the ability to compare a previously generated hash value to a currently generated hash value in order to determine if the corruption is intentional or unintentional.

Thus, with the present invention, data flow from a trusted server to a client device can be accomplished over a non-secure link while still maintaining security by verifying the integrity of transmitted data. The present invention protects the client device from executing unauthenticated code that has been corrupted by a third party. Specifically, the present invention

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protects the client device from unauthenticated code that has been tampered with by a hacker during transmission from the server to the client device.

It is important to note that while the present  
5 invention has been described in the context of a fully  
functioning data processing system, those of ordinary  
skill in the art will appreciate that the processes of  
the present invention are capable of being distributed in  
the form of a computer readable medium of instructions  
10 and a variety of forms and that the present invention  
applies equally regardless of the particular type of  
signal bearing media actually used to carry out the  
distribution. Examples of computer readable media  
include recordable-type media such a floppy disc, a hard  
15 disk drive, a RAM, and CD-ROMs and transmission-type  
media such as digital and analog communications links.

The description of the present invention has been  
presented for purposes of illustration and description,  
but is not intended to be exhaustive or limited to the  
20 invention in the form disclosed. Many modifications and  
variations will be apparent to those of ordinary skill in  
the art. The embodiment was chosen and described in  
order to best explain the principles of the invention,  
the practical application, and to enable others of  
25 ordinary skill in the art to understand the invention for  
various embodiments with various modifications as are  
suited to the particular use contemplated.